

01/16/02
JC997 U.S. PTO

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UTILITY PATENT APPLICATION TRANSMITTAL <i>(Only for new nonprovisional applications under 37 CFR 1.53(b))</i>	Attorney Docket No.	501.41069X00
	First Inventor	KIGUCHI, MASASHI
	Title	OPTICAL APPARATUSES USING THE NEAR-FIELD LIGHT
	Express Mail Label No.	

APPLICATION ELEMENTS <i>SEE MPEP chapter 600 concerning utility patent application contents.</i>	ADDRESS TO: Assistant Commissioner for Patents Box Patent Application Washington, DC 20231
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1. <input checked="" type="checkbox"/> Fee Transmittal Form (e.g., PTO/SB/17) <i>(Submit an original and a duplicate for fee processing)</i>	7. <input type="checkbox"/> CD-ROM or CD-R in duplicate, large table or Computer Program (Appendix)
2. <input type="checkbox"/> Applicant claims small entity status. See 37 CFR 1.27.	8. Nucleotide and/or Amino Acid Sequence Submission <i>(if applicable, all necessary)</i>
3. <input checked="" type="checkbox"/> Specification <i>(preferred arrangement set forth below)</i>	a. <input type="checkbox"/> Computer Readable Form (CRF) b. Specification Sequence Listing on: i. <input type="checkbox"/> CD-ROM or CD-R (2 copies); or ii. <input type="checkbox"/> paper
-Descriptive title of the invention -Cross Reference to Related Applications -Statement Regarding Fed sponsored R & D -Reference to sequence listing, a table, or a computer program listing appendix -Background of the Invention -Brief Summary of the Invention -Brief Description of the Drawings (if filed) -Detailed Description -Claim(s) -Abstract of the Disclosure	
4. <input checked="" type="checkbox"/> Drawing(s) (35 U.S.C. 113) 	[Total Pages: 10]
5. Oath or Declaration a. <input checked="" type="checkbox"/> Newly executed (original or copy) b. <input type="checkbox"/> Copy from a prior application (37 CFR 1.63 (d)) <i>(for continuation/divisional with Box 18 completed)</i>	[Total Pages: 4]
i. <input type="checkbox"/> DELETION OF INVENTOR(S) Signed statement attached deleting inventor(s) Named in the prior application, see 37 CFR 1.63(d)(2) and 1.33(b)	
6. <input type="checkbox"/> Application Data Sheet. See 37 CFR 1.76	
ACCOMPANYING APPLICATION PARTS	
9. <input checked="" type="checkbox"/> Assignment Papers (cover sheet & documents(s)) 10. <input type="checkbox"/> 37 CFR 3.73(b) Statement <input checked="" type="checkbox"/> Power of Attorney <i>(when there is an assignee)</i> 11. <input type="checkbox"/> English Translation Document <i>(if applicable)</i> 12. <input checked="" type="checkbox"/> Information Disclosure Statement (IDS)/PTO-1449 <input type="checkbox"/> Copies of IDS Citations 13. <input type="checkbox"/> Preliminary Amendment 14. <input checked="" type="checkbox"/> Return Receipt Postcard (MPEP 503) <i>(Should be specifically itemized)</i> 15. <input checked="" type="checkbox"/> Certified Copy of Priority Document(s) <i>(if foreign priority is claimed)</i> 16. <input type="checkbox"/> Nonpublication Request under 35 U.S.C. 122 (b)(2)(B)(i). Applicant must attach form PTO/SB/35 or its equivalent. 17. <input checked="" type="checkbox"/> Other: Figs. 1A-1B, 2, 3A-3B, 4-9, 10A-10B, 11A-11B, 12-13; Credit Card Payment Form	

18. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment, or in an Application Data Sheet under 37 CFR 1.76:

 Continuation Divisional Continuation-in-part (CIP) of prior application No.:

Prior application information: Examiner: _____ Group Art Unit: _____

For CONTINUATION OR DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

19. CORRESPONDENCE ADDRESS

<input checked="" type="checkbox"/> Customer Number or Bar Code Label <i>(Insert Customer No. or Attach bar code label here)</i>	020457		or <input type="checkbox"/> Correspondence address below	
Name	ANTONELLI, TERRY, STOUT & KRAUS, LLP			
Address				
City		State		Zip Code
Country		Telephone	(703) 312-6600	Fax (703) 312-6666
Name	Melvin Kraus			Registration No. (Attorney/Agent) 22,466
Signature	<i>Melvin Kraus</i>			Date January 16, 2002

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FEE TRANSMITTAL for FY 2002

Patent fees are subject to annual revision.

TOTAL AMOUNT OF PAYMENT (\$ 780.00)

Complete if Known	
Application Number	
Filing Date	January 16, 2002
First Named Inventor	KIGUCHI, MASASHI
Examiner Name	
Group Art Unit	

Attorney Docket No. 501.41069X00

METHOD OF PAYMENT

1. The Commissioner is hereby authorized to charge indicated fees and credit overpayments to:
Deposit Account Number 01-2135
Deposit Account Name Antonelli, Terry, Stout & Kraus, LLP
 Charge Any Additional Fee Required
Under 37 CFR 1.16 and 1.17
 Applicant Claims small entity status.
See 37 CFR 1.27

2. Payment Enclosed:
 Check Credit Card Money Order Other

FEE CALCULATION

2. BASIC FILING FEE

Large Entity Fee Code (\$)	Small Entity Fee Code (\$)	Fee Description	Fee Paid
101 740	201 370	Utility filing fee	740.00
106 330	206 165	Design filing fee	
107 510	207 255	Plant filing fee	
108 740	208 370	Reissue filing fee	
114 160	214 80	Provisional filing fee	
SUBTOTAL (1)			740.00

1. EXTRA CLAIM FEES

Total Claims	11 -20** = 0	Fee from below	Fee Paid
		x 18	= 0

Indep. Claims	2-3** = 0	x 84	= 0

Multiple Dependent	280	= 0

Large Entity Fee Code (\$)	Entity Fee Code (\$)	Small Entity Fee Code (\$)	Fee Description
103 18	203 9		Claims in excess of 20
102 84	202 42		Independent claims in excess of 3
104 280	204 140		Multiple dependent claim, if not paid
109 84	209 42		** Reissue independent claims over original patent
110 18	210 9		** Reissue claims in excess of 20 and over original patent
SUBTOTAL (2) \$ 0.00			

**or number previously paid, if greater; For Reissues, see above.

3. ADDITIONAL FEES

Fee Code (\$)	Large Entity Fee Code (\$)	Small Entity Fee Code (\$)	Fee Description	Fee Paid
105 130	205	65	Surcharge – late filing fee or oath	
127 50	227	25	Surcharge – late provisional filing fee or cover sheet	
139 130	139	130	Non-English specification	
147 2,520	147	2,520	For filing a request for <i>ex parte</i> reexamination	
112 920*	112	920*	Requesting publication of SIR prior to Examination action	
113 1,840*	113	1,840*	Requesting publication of SIR after Examiner action	
115 110	215	55	Extension for reply within first month	
116 400	216	200	Extension for reply within second month	
117 920	217	460	Extension for reply within third month	
118 1,440	218	720	Extension for reply within fourth month	
128 1,960	228	980	Extension for reply within fifth month	
119 320	219	160	Notice of Appeal	
120 320	220	160	Filing a brief in support of an appeal	
121 280	221	140	Request for oral hearing	
138 1,510	138	1,510	Petition to institute a public use proceeding	
140 110	240	55	Petition to revive – unavoidable	
141 1,280	241	640	Petition to revive – unintentional	
142 1,280	242	640	Utility issue fee (or reissue)	
143 460	243	230	Design issue fee	
144 620	244	310	Plant issue fee	
122 130	122	130	Petitions to the Commissioner	
123 50	123	50	Processing fee under 37 CFR 1.17(q)	
126 180	126	180	Submission of Information Disclosure Stmt	
581 40	581	40	Recording each patent assignment per property (times number of properties)	40.00
146 740	246	370	For each additional invention to be examined (37 CFR § 1.129(a))	
149 740	249	370	For each additional invention to be examined (37 CFR § 1.129(b))	
179 740	279	370	Request for Continued Examination (RCE)	
169 900	169	900	Request for expedited examination of a design application	

Other fee (specify) _____

*Reduced by Basic Filing Fee Paid

SUBTOTAL (3) (\$ 40.00)

SUBMITTED BY		Complete (if applicable)		
Name (Print/Type)	Melvin Kraus	Registration No. (Attorney/Agent)	22,468	Telephone 703-312-6600
Signature		Date	January 18, 2002	

WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.